

PERSONNEL

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20. PERSONNEL EVALUATION

- a. GENERAL. Evaluations of employees' job performance and of their relative capabilities and potential are inherent in personnel management and should be as objective as possible. The Agency's personnel evaluation program includes an Agency-wide system for job performance evaluation and competitive evaluation systems suited to the selection requirements of the Directorates and the Career Services.
- (1) PERFORMANCE EVALUATION. The Agency's performance evaluation system is designed to promote communication and understanding between supervisors and employees with respect to the performance of their assigned duties and to provide an official record of each employee's job performance in terms of Agency-wide criteria.
- (2) COMPARATIVE EVALUATION. Systems for evaluating the relative capabilities and potential of employees are designed to facilitate selection decisions involving their utilization, promotion and retention. These systems should include comparative evaluations of all factors pertinent to the selection decision and should exclude consideration of factors which have no real bearing on the decision. The results of these comparative evaluations are of transient value since



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they pertain to comparisons between members of particular groups and to specific selection considerations at given points in time. They are not recorded in official Agency records and usually are not made known to the employees concerned.

b. POLICY

- (1) Continuous evaluation of the performance of employees by their supervisors is an essential element of the Agency's personnel management program.
- (2) Supervisors will ensure that employees understand the nature and scope of their duties and responsibilities and are periodically continuously advised as to the effectiveness of their performance. Letters of Instruction, to include statements on the nature and scope of their work, will be prepared for each employee and revised whenever there is any significant change in their duties or responsibilities.
- (3) Evaluations of the performance of staff personnel will be recorded in official Agency personnel records at least once each year. Employees will be shown all entries on the reports of their performance evaluation except when operational circumstances, security considerations, or other unusual conditions make it impractical or ill-advised to do so. If the supervisor does not show the employee his performance evaluation report, he will explain in the report the reasons for such action.

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- (4) Supervisors will participate with employees in defining annual performance objectives and action plans which specify the timing of results which each employee intends to accomplish. The objectives and action plans establish the standards for evaluating each employee's performance in terms of his productivity during the following year. They will be revised to record significant qualitative or quantitative changes in productivity goals.
- (5) Employees will be encouraged to attach a written comment to their performance evaluation when they feel that it will contribute to the record of their job performance.

c. RESPONSIBILITIES

- (1) The Director of Personnel is responsible for
  - (a) developing and monitoring the Agency's program for producing timely and useful records on the evaluations of employees' job performance;
  - (b) assisting the Deputy Directors in the development and operation of comparative evaluation systems and reviewing them from time to time to ensure their continuing relevance to the selection factors under consideration.
- (2) Deputy Directors are responsible for
  - (a) providing instructions and guidance in adapting the use of Fitness Reports so as to best evaluate the job performance of employees within their areas of jurisdiction;



- (b) providing guidance to the Heads of Career Services, within their jurisdiction, in developing and administering systems for comparing the relative capabilities and potential (comparative evaluation) of employees as pertinent to their selection for assignment, advancement, and retention.
- (3) The Heads of Independent Offices, Operating Officials, and supervisors at all levels are responsible for
  - (a) ensuring that employees are at all times aware of the nature and scope of their duties and responsibilities;
  - (b) assisting employees in defining annual performance objectives and action plans;
  - (c) periodically continually informing employees of the effectiveness of their job performance; and
  - (d) reporting evaluations of employee performance in Fitness Reports in accordance with subparagraph d below.
- (4) The Director of Training is responsible for training supervisors in
  - (a) job performance evaluation;
  - (b) preparing Letters of Instructions;
  - (c) developing performance objectives and action plans;
  - (d) conducting performance evaluation interviews;
  - (e) preparing the Fitness Report.

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d. RECORDING PERFORMANCE EVALUATIONS

- (1) The Fitness Report (Forms 45, 45k, and 45m) will be used to record performance evaluations and will be prepared and submitted in accordance with the instructions contained in Form 45i, Directions for Completing Forms 45, 45k, and 45m, Fitness Report.
- (2) A memorandum in lieu of Form 45 is permitted for employees in grade GS-14 and above when it is clearly established that such a substitute is appropriate and not merely an avoidance of specificity. When a memorandum is used, care should be taken to ensure that the purposes of a Fitness Report are observed. The memorandum will be prepared in accordance with instructions contained in Form 45i. A memorandum in lieu of Form 45k or 45m will not be used for a Career-Provisional Employee.
- (3) Promotion recommendations will not be made on Fitness Reports.

- formerly d. e. SUBMISSION OF REPORTS [No change]
- formerly e. f. NOTICE OF FITNESS REPORTS DUE AND DELINQUENT [No change]
- formerly f. g. APPEALS. In addition to adding his comments to his Fitness Report, an employee who so desires may appeal his performance evaluation in accordance with provisions of [redacted], Grievance Procedure.

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